



Virginia Information Technologies Agency



Records Management Training

Introduction to Records Management

December 16, 2010

Eric B. Perkins

VITA Lead Records Officer







Course Outline

Rules & Regulations

Terms & Concepts

**Roles &
Responsibilities**

Life Cycle



Records Management Life Cycle

**Create
Phase**

**Access
Phase**

**Maintain
Phase**

**Store
Phase**

**Dispose
Phase**

Life Cycle



Rules & Regulations



Rules & Regulations

- It's the Law
 - VPRA
 - FOIA
 - Evidence
- It's a Business Best Practice
- What's Past is Prologue
(William Shakespeare)
- Information is the currency of democracy.
(Thomas Jefferson)

- What is records management?



Rules & Regulations

- What are the A, B, C's of Records Management?
 - A - Keep what must be kept
 - B - Shred what may be shredded
 - C - Understand the difference between A and B

Roles & Responsibilities



People say I'm a packrat - but I prefer the term archivist



Roles & Responsibilities

- Lead Records Officer:
 - In addition to Records Officer duties;
 - Serves as a liaison to LVA;
 - Oversees the VITA Records Program;
 - Directs the development, review and update of the VITA records management policy, procedures, program;
 - Organizes and analyzes the annual records survey;
 - Organizes and analyzes periodic records inventories;
 - Facilitates periodic Records Officer meeting; and
 - Provides quarterly employee training.



Record Life Cycle



Record Life Cycle

Records Management

**Create
Phase**

**Access
Phase**

**Maintain
Phase**

**Store
Phase**

**Dispose
Phase**

Life Cycle

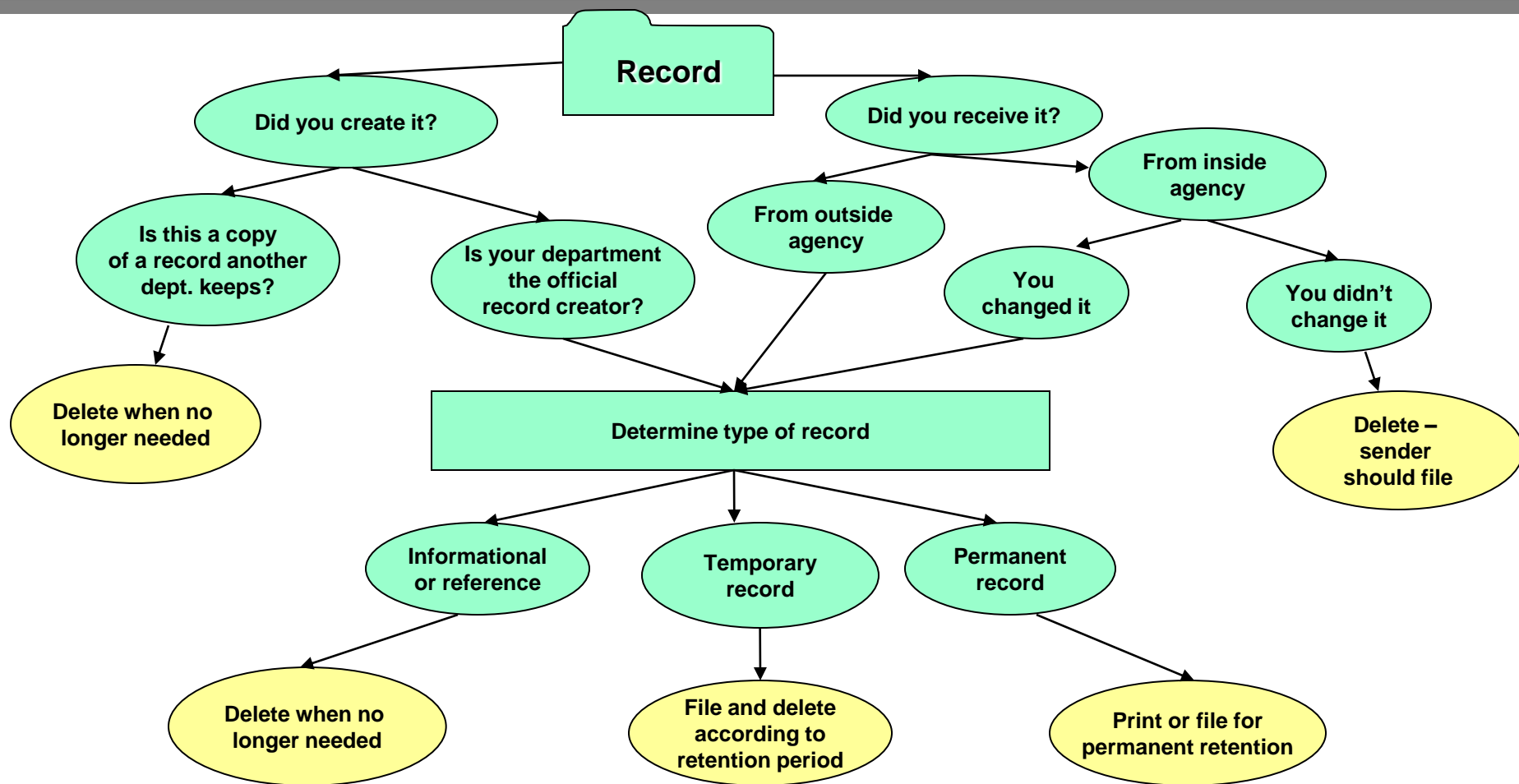
Record Life Cycle

- The during a record's life cycle it exists in one of these conditions:
 - Active – Used regularly and frequently in day to day work of the organization. Generally will be referred to at least once a month
 - Semi-active – Not in use as frequently as current records, but are needed for legal or operational reasons to be retained. Required for compliance with procedural / statutory / financial requirements.
 - Inactive – Records no longer required for the work of the organization will be destroyed or, if identified as having a long term historical, cultural or educational significance, retained.



Create Phase

Create Phase



Create Phase

- Begins at the point in time when a public record is first created.
- The record creator:
 - Identifies and documents any specific legislative or administrative requirements to create particular official records.
 - Reviews business processes to ensure that all official records that are required to be created, are created.



Create Phase

- Begins at the point in time when a public record is first created.
- The record creator:
 - Is responsible for the management of all records created in their specific organizational units



Access, Maintain & Store Phases

Access Phase

- Provide access to records in accordance with:
 - Virginia Public Records Act (VPRA)
 - *Code of Virginia* 42.1-76
 - Virginia Freedom of Information Act (FOIA)
 - *Code of Virginia* § 2.2-3700
 - Copies of Originals as Evidence
 - *Code of Virginia* § 8.01-391
- Ensure records are accessible for the length of time cited in applicable records retention and disposition schedule.

Maintain Phase

- Maintain a directorate and/or division records file systems to:
 - meet business and administrative operational needs;
 - ensure records are properly maintained, protected and accessible for the length of time cited in applicable records retention and disposition schedule;
 - facilitate recordkeeping; and
 - facilitate in the record's disposition.

Store Phase

- Store records in appropriate conditions to ensure their ongoing accessibility:
 - on appropriate media (paper, film, electronic, etc.);
 - based on business needs, preservation requirements, and costs; and
 - with appropriate procedures to deter, identify and respond to incidents.



Store Phase

Storage Decision Guide

If	And	And	Then
You have records you would like to store	You have located the records on your records retention schedule	The records have at least one year left on their retention	Prepare an RM-17. (See Form & instructions on LVA Web site)
You have prepared the RM-17			Order the required number of boxes through your Records Coordinator
You have prepared the RM-17	You have submitted the form to your Records Coordinator	The Records Coordinator has approved the form	The Records Coordinator will complete the form with box numbers and bar code number
If the Records Coordinator has approved the form and returned it with the additional entries			Obtain the required box bar codes from your Records Coordinator
You have obtained the bar codes			Apply them to your boxes
You have bar coded your boxes			Create an index of the contents in each box using the VITA Records Storage Box Index form on the VITAweb RM page



Dispose Phase

Dispose Phase

- Dispose of records according to:
 - Virginia Public Records Act (VPRA)
 - Code of Virginia § 42.1-76
- Based on the appropriate
 - Business need;
 - LVA retention and disposition schedule
- Using the prescribed method of destruction for:
 - paper records -shredding, recycling, trash; and
 - electronic records –deletion or wiping.

Dispose Phase



To shred or not to shred; that is the question.



Dispose Phase - Records Disposal Decision Guide

Disposition/Destruction Decision Guide Records stored at Your Location

If	And	And	Then
You have records you would like to dispose of	You have located the records on your records retention schedule for the retention period and disposal method	The records have met or exceeded their retention period	Check to make sure the records are not subject to litigation, audit, or otherwise not eligible for destruction
If you have checked to make sure the records are not subject to litigation, audit, or otherwise not eligible for destruction	The records are not under any special activity	The records are stored at your location	Prepare an RM-3 (see LVA Instructions)
You have prepared the RM-3			Submit the form to your Records Coordinator
If you have submitted the form to your Records Coordinator	The Records Coordinator has validated the form and obtained the approvals of your Records Manager and of your Records Officer	You have been notified the RM-3 was approved	Destroy the records based on the retention schedule requirements and complete RM-3 process.



Dispose Phase – RM-3 Certificate of Records Destruction

Commonwealth of Virginia



THE LIBRARY OF VIRGINIA

Archival and Records Management Services Division
800 East Broad Street, Richmond, VA 23219-8000
(804) 692-3600

CERTIFICATE OF RECORDS DESTRUCTION

(Form RM-3 May 2007)

DECEMBER 15, 2008

D08-097

This form documents the destruction of public records in accordance with the *Virginia Public Records Act*, § 42.1-76 through 42.1-91 of the *Code of Virginia*.

[illegible]

NOTE: Public records may not be destroyed without receiving prior approval from your agency or locality Records Officer.

We certify that the records listed above have been retained for the scheduled retention period, required audits have been completed, and no pending or ongoing litigation or investigation involving these records is known to exist.

**7. Approving
Official (Print)**

TERRY D. MAYO

Signature

Jerry D. Mayo

Date _____

5/12/09

8. Designated Records Officer (Print)

ERIC B. PERKINS

Signature

Em. B. Allen

Date _____

4/29/08

**9. Records
Destroyed By (Print)**

M. Storms

Signature

M. Stone

Date _____

7/21/9



Dispose Phase – RM-17 Records Transfer

Commonwealth of Virginia



THE LIBRARY OF VIRGINIA

Archival and Records Management Services Division
800 East Broad Street, Richmond, VA 23219-8000
(804) 692-3600

RECORDS TRANSFER LIST AND RECEIPT

(Form RM-17 Oct 2007)

Accession/Transfer Number _____

SEE INSTRUCTION SHEET FOR MORE DETAILS

1. Agency / Locality / Other Entity Virginia Information Technologies Agency		2. Agency / Locality Code 136		3. Department Name ITIES - ISP/VGIN Division VITA_RM17_Archive_VITA- VGIN_090713_06Film_Box_2006.001- 2006.010(pg1of2)	
4. Agency / Locality Contact Eric Perkins				5. Telephone Number and Extension 804-416-6191	
6. E-mail eric.perkins@vita.virginia.gov					
7. Record Pickup Address Room, Building, Street, City, and Zip Code VITA CESC 11751 Meadowville Lane Chester, VA 23836			8. Billing Address VITA 11751 Meadowville Lane Chester, VA 23836		
9. Records Transfer to/for: Please check one <input checked="" type="checkbox"/> Archives <input type="checkbox"/> State Records Center (SRC) <input type="checkbox"/> Imaging services branch <input type="checkbox"/> Other			10. Restrictions to Use or Access for Archival Transfers <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes, explain and provide code citation:		
11. Media Format Please check one <input type="checkbox"/> CD/DVD <input type="checkbox"/> Fiche <input type="checkbox"/> Paper <input type="checkbox"/> Electronic <input checked="" type="checkbox"/> Microfilm <input type="checkbox"/> Other			12. Special Notes		
13. Schedule Number GS136-001		14. Series Number 000323		15. Records Series Title Geographic Information Systems (GIS): Core Data	
16. Agency Box Number	17. SRC Bar Code Number No barcodes for archival transfer	18. Contents Beginning to end		19. Date Range Beginning to end	20. Accession Number Leave blank
VGIN-(VITA-ITIES-ISP)-2006.001		VGIN VBMP Film - Roll #060303-13, 060303-14 and 060303-15		2006	
VGIN-(VITA-ITIES-ISP)-2006.002		VGIN VBMP Film - Roll #060303-5, 060303-6, 060303-7, 060303-44		2006	
VGIN-(VITA-ITIES-ISP)-2006.003		VGIN VBMP Film - Roll #060303-28, 060303-29, 060303-30, 060303-31		2006	
VGIN-(VITA-ITIES-ISP)-2006.004		VGIN VBMP Film - Roll #060303-8, 060303-69, 060303-70, 060303-72		2006	
VGIN-(VITA-ITIES-ISP)-2006.005		VGIN VBMP Film - Roll #060303-60, 060303-61, 060303-62, 060303-63		2006	
VGIN-(VITA-ITIES-ISP)-2006.006		VGIN VBMP Film - Roll #060303-64, 060303-65, 060303-66, 060303-67		2006	
VGIN-(VITA-ITIES-ISP)-2006.007		VGIN VBMP Film - Roll #060303-9, 060303-10, 060303-11, 060303-12		2006	
21. Agency / Locality Records Officer Print and sign name Virginia Information Technologies Agency/Eric B. Perkins, Records Officer Transfer Received By <i>M. Stone</i>				22. Date of Authorization 07-13-2009 Date Received <i>7/23/09</i>	Page 2 of 2

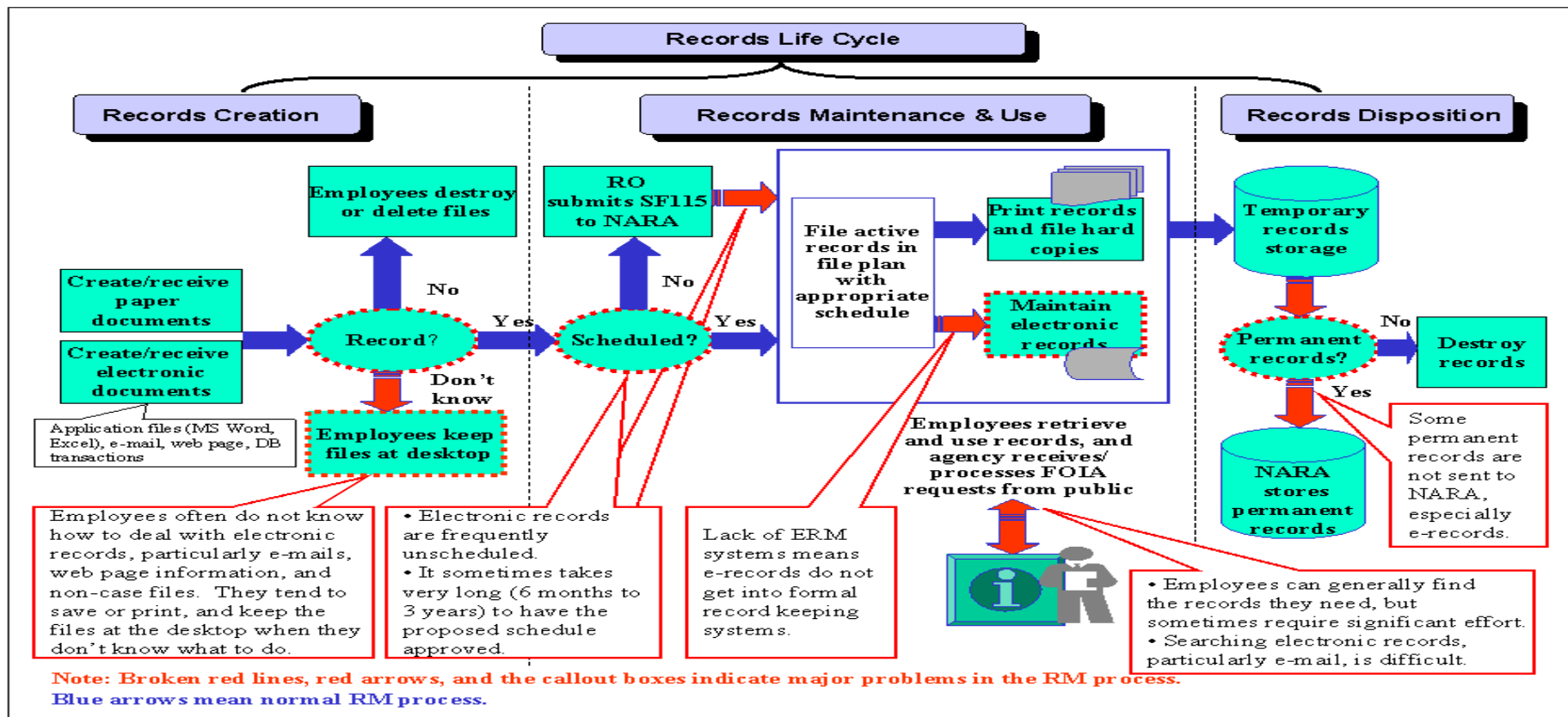


Related Topics

Related Topics - Email

- Email is a format, not a record series.
 - Asking how to file an email is the same as asking how to file a piece of paper.
 - The content determines the disposition.
 - Email should not be stored within the VITA Outlook application
 - For guidance, please see:
 - *LVA E-Mail Management Guidelines:*
<http://www.lva.virginia.gov/agencies/records/electronic/email-management-guidelines.pdf>
 - *VITA E-Mail Archiving Step-by-Step Guide:*
<https://vashare.virginia.gov/sites/vita/GS/SMS/PPRAT/RM/Records%20Management%20Docs/VITA%20E-mail%20Archiving.pdf>

Related Topics – Records Life Cycle and Major Problem Areas



Source: NARA: <http://www.archives.gov/records-mgmt/initiatives/fig4-1.html>



Key Concepts – For the Record...

Key Concepts

- Public Record:
 - determined by its **content** not its format.
- Non-Public Records:
 - copies, personal items, and reference materials
- RM-3 Form.
- Records Transfer (RM-17):
 - Library of Virginia form used to request transfer of records to the Library of Virginia and acknowledge receipt of records after transfer is completed.

Key Concepts

- Records Survey (RM-19):
 - identifies all records series, regardless of format.
- A Records Locator Inventory (RM-20):
 - identifies, quantifies locates all records.
- Record Retention and Disposition Schedules:
 - Library of Virginia approved timetable stating the length of time a record must be kept and its required disposition.
- Record Series:
 - a group of identical or related records.
- Life Cycle Phases of a Record:
 - Create, Access, Maintain, Store and Dispose



Key Concepts

- Records Officers:
 - Required by the *Code of Virginia* to monitor and control the creation, use, storage, transfer and destruction of records, develop and implement the VITA records program.
- Records Coordinators:
 - Assists the Records Officer in implementing a records management program
- Records Creator:
 - The person or office initially creating a record, have physical possession and control of records ensure compliance at the individual record level.
- Records Custodian:
 - The supervisors in the agency having physical possession and control of records.



Questions?